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ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Conference Services and Special Assignments

Subject: REGULATIONS FOR THE CONTROL AND LIMITATION OF DOCUMENTATION

Addendum

INITIATION, APPROVAL AND EXECUTION OF THE UNITED NATIONS BIENNIAL PUBLICATIONS PROGRAMME

I. TERMS OF REFERENCE OF THE HEADQUARTERS WORKING COMMITTEE AND THE UNITED NATIONS OFFICES AT GENEVA AND VIENNA WORKING GROUPS OF THE UNITED NATIONS PUBLICATIONS BOARD

1. The mandate of the Publications Board is set forth in document ST/SGB/Organization, annex I, pp. 10 and 11. Its role is also outlined in rules 110.38 and 110.39 of the Financial Regulations and Rules of the United Nations (ST/SGB/Financial Rules/1/Rev.3 (1985)). As part of its duties, the Publications Board exercises general authority over the establishment and execution of the publications programme. The Board is directly responsible to the Secretary-General in the conduct of its duties and reports to him yearly thereon.

2. By administrative instruction ST/AI/189/Add.1/Rev.1 of 27 June 1978, the Publications Board designated a Working Committee at Headquarters to assist it in fulfilling its duties.

3. Effective immediately, the Publications Board further designates working groups at the United Nations Office at Geneva and the United Nations Office at Vienna to assist it, along with the Working Committee at Headquarters in carrying out these responsibilities. The Geneva and Vienna Working Groups will be entrusted with the following duties:

(a) Co-ordinating the planning of the publications programmes produced by the author departments located at their respective duty stations, including recommending for the approval of the Publications Board estimates of resources for contractual printing, typesetting and binding earmarked for this purpose under sections of the budget administered at their respective duty stations and/or internal processing requirements;

(b) Monitoring the execution of the publications programmes produced by author departments located at their respective duty stations, controlling the use of resources earmarked for external processing with a view to achieving maximum economy and, in the case of the United Nations Office at Geneva, regulating the use of internal reproduction capacity and efficiency;

(c) Reviewing and making recommendations to the Publications Board for proposed external publishing arrangements and the translation and/or reproduction of whole texts of United Nations publications originating at their respective duty stations, in the context of the Board's biennial reviews of publications programmes to identify titles suitable for consideration for internal and/or external publication;

(d) Monitoring compliance with existing publishing policies set forth in the administrative instructions governing the control and limitation of documentation (ST/AI/189 and addenda);

(e) Reviewing and making such recommendations as necessary on the establishment, revision and implementation of guidelines governing the control and limitation of documentation, including but not limited to such questions as the use of the United Nations emblem, typographical style and layout standards, copyright, external publishing as well as distribution and sales policies, it being understood that final authority for establishing and issuing policy directives on such matters rests with the Publications Board;

(f) Undertaking ad hoc assignments as requested by the Publications Board.

4. In addition to carrying out the same responsibilities in respect of publications programmes planned and executed in New York and all duty stations other than Geneva and Vienna, the Headquarters Working Committee shall be entrusted with the following duties:

(a) Reviewing the proposed biennial consolidated publications programme of the United Nations, formulating recommendations to the Publications Board on the level of financing required for its production and co-ordinating the final presentation of the consolidated publications programme to the Publications Board;

(b) Reviewing and co-ordinating for presentation to the Publications Board, in consultation with the Office of Programme Planning, Budget and Finance, a biennial report on the delivery of publications programme outputs and the corresponding level of expenditure against external printing allotments, the purpose of the report being its use by the Board in reviewing departmental

submissions to the proposed consolidated publications programme and the recommendations of the Working Groups and Working Committee thereon;

(c) Co-ordinating the final presentation of the biennial reviews of proposed external publishing arrangements; moreover, within the scope of the authority delegated to it by the Publications Board in such matters, reviewing and deciding, on behalf of the Board, on specific proposals for external publications, the translation and/or reproduction of whole texts of United Nations publications and the acquisition of rights to materials prepared by non-United Nations authors. This includes, but is not limited to, the consideration of royalty payments, copyright and the contractual terms of such arrangements.

5. The Geneva and Vienna Working Groups and the Headquarters Working Committee will report to the Publications Board, through its secretariat, on their activities during the calendar year by February of the following year. Such information will be incorporated into the annual report of the Publications Board to the Secretary-General on its work during the previous year.

II. COMPOSITION

6. The composition of the Headquarters Working Committee will be as follows:

Chief Editor, Chairman
Director, Publishing Division
Director, Dag Hammarskjöld Library
Director, Translation Division
Chief, Documents Control Section
Chiefs, Editorial Services
Chief, Printing Section
Chief, Sales Section
Chief, Reproduction Section
Chief, Graphic Presentation Unit
External publications officer
Representatives of the Programme Planning and Budget Division
Representative of the Office of Legal Affairs
A representative of the author department or office whose proposals are under examination
A representative of the editorial unit concerned and the programme budget officer for the relevant section of the budget under which the publication proposal would be financed

The membership of the Geneva and Vienna Working Groups will be established by the Director-General's Office at the United Nations Office at Geneva and the United Nations Office at Vienna along the lines of the Headquarters Working Committee and will be communicated to the Chairman of the Publications Board on a yearly basis. The Chairman of each Working Group will be appointed by the Directors-General of the United Nations Office at Geneva and the United Nations Office at Vienna, in consultation with the Chairman of the Publications Board. The Secretary of the Publications Board will serve as ex officio Secretary of the Working Committee.

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The Secretary of the Geneva and Vienna Working Groups shall be designated by the Groups' Chairman.

III. DEFINITIONS

7. The term "United Nations publications programme" includes all material, whether intended for internal or external processing, generally to be published in response to legislative mandates or requests for the publications which emanate from intergovernmental bodies. Such materials may be issued in printed, electronic or non-paper form (e.g. microfiche, CD-ROM, video or other cassettes, optical discs etc.). It should be noted that, with the exception of the Yearbook of the United Nations and the UN Chronicle, public information materials such as brochures, pamphlets, press releases, books not intended for official distribution, albums, posters, fliers and catalogues are not part of the United Nations publications programme. Also not part of the United Nations publications programme are internal Secretariat issuances as well as documents, conference room papers and working papers consisting of background and technical papers for meetings and seminars. Publications outputs are categorized as follows:

(a) Official Records and records of meetings and conferences: a series of printed publications relating to the proceedings of the principal organs of the United Nations and of certain United Nations conferences and meetings. Official Records include verbatim or summary records of the meetings of the organ concerned, annexes and supplements, resolutions and decisions and other such materials, which are presented in a standardized format. Official Records bear International Standard Serial Numbers (ISSNs), while the proceedings of specific meetings or seminars bear International Standard Book Numbers (ISBNs);

(b) Recurrent publications: serial publications, which are defined by the International Organization for Standardization (IOS) as publications issued at regular or irregular intervals and/or in successive parts, bearing numerical or chronological designations and intended to be continued indefinitely. Serials include yearbooks, annual/biennial reports and surveys, periodicals and numbered monograph series. In United Nations usage, proceedings of special meetings or conferences or Official Records, which are authorized by a decision or resolution of an intergovernmental body and may be issued at regular or irregular intervals, are not included in the category of recurrent publications. As defined by the International Serials Data System for the purpose of allocating an ISSN, a serial, or recurrent publication, is a publication in print or non-print form, issued in successive parts, usually having numerical or chronological designations, and intended to be continued indefinitely. Recurrent United Nations publications should all bear ISSNs and fall into the following categories:

(i) Yearbooks: volumes often called annuals, containing current information of a variable nature, in brief descriptive and/or statistical form, which is published once every year. Often yearbooks review the events of a given year. Examples: Yearbook of the United Nations, Statistical Yearbook and The United Nations Disarmament Yearbook;

(ii) Annual/biennial reports and surveys: serial publications on a specific topic issued annually/biennially in the format of a report. The annual/biennial reports of subsidiary bodies of the General Assembly and the Economic and Social Council and the regional commissions are issued as Official Records and are not included in this category. Examples: Annual survey on the assessment of energy-related activities in the ESCWA region, the UNCTC Annual Report, The Steel Market, issued yearly by the Economic Commission for Europe, International Review of Criminal Policy, issued yearly by the Centre for Social Development and Humanitarian Affairs, and World Economic Survey;

(iii) Periodicals: publications with a distinctive title that appear at stated or regular intervals, without prior decision as to when the last issue shall appear, including periodicals, newsletters, bulletins, chronicles and journals, which are publications other than Official Records containing news and/or reports of work carried out in a particular field. They may also contain articles, studies, or other writings by several contributors. Individual issues in these series may be numbered consecutively or by the date of publication. Examples: UN Chronicle, the Journal for Development Planning, Women News, Disarmament and Human Rights Fact Sheet and Bulletin series, Revista de la CEPAL, TISNET Trade Information Sheets and TIS Quick issued by the Economic Commission for Asia and the Pacific (ESCAP), and Boletín de planificación, issued by the Economic Commission for Latin America and the Caribbean;

(iv) Numbered monographs, monograph series: series of separate treatises or studies, on a separate subject or class of subjects, usually detailed in treatment. Bibliographies and directories are also included in this category. Examples: Bibliography of the Law of the Sea; Reference Collection, Treaty Series, series on National legislation and regulations relating to transnational corporations, Trade profiles, issued by ESCAP, the Water Series and World Cartography series, issued by the Department of Technical Co-operation for Development, UNDOC: Current Index, Terminology Bulletins and Studies on development problems in Western Asia, issued by the Economic and Social Commission for Western Asia;

(c) Non-recurrent publications: monographs, comprising studies and reports on a wide range of topics that do not form part of a series, are complete in one part or in a finite number of separate parts, are not issued at regular intervals and are issued as a product of work done by the Secretariat or, at the request of the Secretary-General, by experts and/or consultants in response to specific requests from the legislative bodies of the Organization or in the implementation of the programme of work governed by the terms of reference of the Secretariat units concerned. Generally, such publications address specific problems and contribute directly to the attainment of the subprogramme's objectives during a particular biennium. Non-recurrent publications are identified by ISBNs. Examples: country monographs on a particular topic, guidelines, handbooks and specific studies.

IV. PROCEDURE FOR THE INITIATION AND APPROVAL OF THE BIENNIAL CONSOLIDATED PUBLICATIONS PROGRAMME OF THE UNITED NATIONS

8. The purpose of the procedures set forth in this instruction is to ensure that the consolidated publications programme shall set a timetable and allot budgetary appropriations so as to make optimum use of available internal resources and minimize external processing requirements, taking into account the need for the timely issuance of publications. The criteria for the selection of materials to be issued as United Nations publications are set forth in administrative instruction ST/AI/189/Add.17 of 24 June 1975. The publications programme should make it possible to:

(a) Ensure that publications contribute to the positive image of the United Nations;

(b) Plan editing and translation requirements;

(c) Benefit from the application of new technologies to improve the quality and facilitate the processing of documents;

(d) Make optimum use of internal reproduction capacity, where available;

(e) Establish realistic budgetary estimates for external production requirements, so as to make the best use of low-bid contracts;

(f) Monitor the execution of the programme, making the most efficient allocation of resources among publications and ensuring issuance at the proper time;

(g) Identify individual items with sales potential at an early stage in order to plan sales publicity in advance;

(h) Ensure that an appropriate print run can be established for each title, with a view to balancing the number of copies disseminated free of charge and sales copies, ensuring that sufficient copies are available for official distribution and stock and preventing overproduction and stock accumulation.

9. The instructions for preparing budgetary submissions in respect of external printing allotments are included in the Instructions on the preparation of the biennial proposed programme budget issued by the Controller. The procedures outlined in paragraphs 10 to 15 below are to be followed at Headquarters, although the principles involved and the methods used are basically the same in all United Nations offices, allowance being made for variations in administrative practice to suit local conditions. The timing of the preparation of departmental submissions will be communicated by the secretariat of the Publications Board to the Geneva and Vienna Working Groups as well as to author departments and will take into account the deadlines set in the Instructions on the preparation of the biennial proposed programme budget for the review and approval of estimated external printing appropriations by the Publications Board.

10. By the end of the sixth month prior to the projected date for the completion of the review by the Publications Board, each department or office proposing items for inclusion in the publications programme of the next biennium will submit to the Publishing Division, Department of Conference Services, or the corresponding publishing service authority in the case of duty stations other than Headquarters (hereinafter called the "corresponding authority"), a completed D-3 proposal for publication form for each planned title. The form will specify the legislative authority requiring the issuance of the publication and all information needed to determine the most cost-efficient means of its production. Departments and offices should ensure that publications included in the consolidated publications programme are also shown as programme budget outputs. The procedures for proposals in respect of the Official Records of the principal organs are set forth in paragraph 13 below.

11. On the basis of such information, the Publishing Division, or the corresponding authority, will project the distribution pattern to determine the size of the print runs, excluding sales copies, as well as the production methods to be used. For overseas duty stations, this process should take into account the need to provide official distribution and stock copies to Headquarters of major recurrent publications and reports. On that basis, external and/or internal production costs and the volume of work involved will be estimated. Such information will be forwarded to author departments and offices as completed D-3 A and B forms no later than the end of the fifth month prior to the projected date for the completion of the Publications Board review.

12. By the end of the fourth month prior to the projected date for the completion of the review by the Publications Board, author departments and offices are expected to complete D-28 proposed publications programme item and summary pages, finalizing their departmental submission taking into account adjustments made to production methods and/or distribution patterns to meet, inter alia, expected budgetary and technical resources. The presentations will include information on the titles or series, language(s) of issuance, length of manuscripts, size of publication, press runs, anticipated dates for submission of manuscripts, methods of printing and all other data required on the D-28 item form. The presentations of the D-28 summary form will also contain such data as the programme level of the appropriations approved for the current biennium, the expenditures incurred in the previous biennium and the resources estimated for the following biennium for external and internal processing. By the end of the month, author departments located at Geneva and Vienna will submit their consolidated proposals to the secretariats of the Geneva and Vienna Working Groups, respectively. All other departmental consolidated proposals will be submitted to the secretariat of the Headquarters Working Committee. The reviews of the Working Groups and the Working Committee will be completed to enable consolidation and presentation to the Publications Board two months prior to the scheduled completion of its review of the consolidated publications programme for the upcoming biennium.

13. In respect of the Official Records of the principal organs, the Documents Control Section of the Department of Conference Services, in consultation with the departments or offices responsible for the substantive preparation of the manuscripts, will complete the relevant D-12 notification of Official Records forms

and forward them to the Publishing Division in accordance with the schedule applied for departmental publications programmes. The costed form should be submitted as a single paper to the Headquarters Working Committee not later than two months prior to the scheduled date of completion of the Publications Board review of the proposed consolidated publications programme.

14. The Geneva and Vienna Working Groups and the Headquarters Working Committee will review the publications proposals by budget section and programme on the basis of the presentations made by author departments or offices. These reviews will be undertaken with the assistance of the author department, the processing services and, where possible, with the programme budget officer for the relevant section of the budget. Upon completion of their reviews, but not later than two months prior to the scheduled review of the consolidated submissions by the Publications Board, the Geneva and Vienna Working Groups will submit their reports along with the detailed and endorsed departmental submissions to the secretariat of the Headquarters Working Committee, which will consolidate all submissions for final review by that Committee for presentation to the Publications Board. The consolidated submission will include details on the estimated costs of producing the proposed biennial programme and data, as available, on allocations and performance over past bienniums.

15. The proposed consolidated publications programme is reviewed by the Publications Board. The results of this review are transmitted to the Controller for incorporation into the Secretary-General's proposed programme budget. The review process schedule detailed below is given for illustrative purposes and is based on a Publications Board review completion date of 31 December of the even calendar year prior to the review of the proposed programme budget:

31 July - Submission of completed D-3 forms by author departments and offices to the Publishing Division or the corresponding authority.

31 August - Completed D-3 A forms are returned by the Publishing Division or corresponding authority to author departments and offices.

30 September - Submission of completed D-28 item and summary pages to secretariats of the Geneva and Vienna Working Groups and the Headquarters Working Committee, as appropriate.

31 October - Completion of reviews by the Geneva and Vienna Working Groups and the Headquarters Working Committee and submission of reports thereon to the secretariat of the Publications Board for consolidation and final review by the Headquarters Working Committee for presentation to the Publications Board.

31 December - Completion of the Publications Board review and submission of external printing estimates to the Controller for incorporation into the Secretary-General's proposed biennial programme budget.

16. When the budget estimates have been approved by the General Assembly, departments or offices will adjust their programmes to the approved resources for the biennium and submit their revised publications proposals in consultation with the Programme Planning and Budget Division and in accordance with the format set out by the Geneva and Vienna Working Groups and the Headquarters Working Committee. Once this second round of reviews is undertaken, as necessary, the Headquarters Working Committee will review revised presentations and present a revised consolidated publications programme to the Publications Board for its approval.

17. Once the consolidated publications programme has been approved, no changes may be made without the authorization of the Board or, on its behalf, of the Geneva and Vienna Working Groups or the Headquarters Working Committee. If a department or office wishes to revise its programme during the biennium, it must submit details on a D-3 form, which would be examined by the Geneva and Vienna Working Groups or the Headquarters Working Committee, in accordance with their delegated authority. The results of these ad hoc reviews will be communicated to the Publications Board in a consolidated yearly report.

V. EXECUTION OF THE BIENNIAL PROGRAMME

18. Each department or office is responsible for submitting the manuscript of the publications it originates, in accordance with the approved dates and specifications set forth in the publications programme. Precise scheduling is of primary importance for the proper organization of the preparation, production and distribution and for the placement of external processing orders under the most favourable conditions. Therefore, the dates agreed upon for the submission of manuscripts by issuing departments or offices should be strictly adhered to, so that printing funds can be obligated or internal capacity provided during the financial period for which they have been requested. Appropriate measures should also be undertaken to ensure that all publishing policies issued under the guidelines for the control and limitation of documentation (administrative instruction series ST/AI/189) are correctly applied, including but not limited to ensuring that appropriate copyright applications are filed, that the copyright notice when applicable is shown on the verso of the title page and that ISSN and ISBN numbers are obtained as required.

19. Upon submission of a manuscript for external or internal printing, the Publishing Division, or the corresponding authority, shall re-examine the distribution and cost figures as well as the methods of printing on the basis of the latest information available and make any necessary adjustments. The Publications Board and the department or office concerned are informed of any deviation from the specifications which would call for a compensatory revision of the programme. Arrangements for processing manuscripts so as to ensure publication by the scheduled dates are made by the Department of Conference Services or by the corresponding authority, taking into account the impact of the entire documentation and publications volume of submitting departments.

20. Each department or office reviews, as necessary, its biennial publications programme, particularly in conjunction with the preparation of the budget for the following biennium. In addition to such reviews, in consultation with the Central Monitoring Unit of the Programme Planning and Budget Division, it submits by March of the year following the completion of the biennial period a performance report on the delivery of publications programme outputs and on the utilization of external printing allotments. This information is reviewed by the Geneva and Vienna Working Groups and the Headquarters Working Committee for submission in the form of a consolidated report made available to the Publications Board to enable it to utilize the information in reviewing submissions to the proposed consolidated publications programme for the following biennium.

VI. CONTROL OF PRINTING OBLIGATIONS AND EXPENDITURES

21. The issuance of allotments and the control of printing expenditures remain under the authority of the Office of Programme Planning, Budget and Finance. The external printing allotments are administered on a global basis by the Publications Board. The day-to-day administration of such accounts is delegated to the Publishing Division or the corresponding authority, which report on a monthly basis thereon to the Publications Board and to the departments and offices concerned. For budgetary purposes, any manuscript which has been received by the Publishing Division or the corresponding authority in time to award the contract and issue a purchase order before the end of the year is considered to be within the cut-off date and the related printing costs resulting therefrom may be obligated in full against the allotments available for that particular year.

22. Effective immediately, the present instruction supersedes administrative instruction ST/AI/189/Add.1/Rev.1 of 27 June 1978.